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(5473/60)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**APPLICANTS:** Madnick et al.

**SERIAL NO.:** 08/657,750

**GROUP NO.:** 2783

**FILED:** May 30, 1996

**EXAMINER:** Davis, W.

**TITLE:** Querying Heterogeneous Data Sources Distributed Over A Network Using Context Interchange

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**RESPONSE UNDER 37 C.F.R. 1.131  
EXPEDITED PROCEDURE  
EXAMINING GROUP NO. 2783**

BOX AF  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**DECLARATION OF**  
**MICHAEL SIEGEL UNDER 37 C.F.R. §1.131**

I, Michael Siegel, declare and state that:

1. I am a named co-inventor of the subject matter claimed in United States Patent Application Serial No. 08/657,750, titled "Querying Heterogeneous Data Sources Distributed Over A Network Using Context Interchange".
2. Prior to making this declaration I have studied the following documents:
  - (a) the specification of the above-identified patent application;
  - (b) the claims as amended in the Amendment and Response filed on April 7, 1998;

(d) the documents cited in the Office Action, including United States Patent No. 5,634,053 to Noble et al., issued on May 27, 1997, and based on Application No. 521,340, filed on August 29, 1995.

3. I submit that prior to August 29, 1995, in the United States, Stuart Madnick and I conceived and reduced to practice a method for querying heterogeneous data sources distributed over a network using context interchange to translate between differences in the semantic context of data stored by the databases. Our conception included the subject matter of claims 1-38.
4. Attached hereto as EXHIBIT A, is a true copy of "The Context Interchange Network Prototype". The pages and the facts contained in Exhibit A constitute evidence demonstrating that Stuart Madnick and I conceived of the claimed invention in the United States prior to August 29, 1995.
5. Specifically, Exhibit A, shows:
  - (1) the conception of defining a local semantic data context, which is recorded at least at page 9; and
  - (2) the conception of converting a request to a query having a different semantic data context, which is recorded at least in Section 4 beginning on page 8 and continues through page 21.
6. Messrs. Daruwala, Goh, Hofmeister and Hussein are named as co-authors of Exhibit A. However, their contribution to the paper was the carrying out of explicit instructions given to them by Stuart Madnick or me. After implementing their instructions, they returned to one of us with their results.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. Furthermore, these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

9/11/98  
Date  
412JDL5473/60.641874-1A

  
Michael Siegel

## IFIP – The International Federation for Information Processing

IFIP was founded in 1960 under the auspices of UNESCO, following the First World Computer Congress held in Paris the previous year. An umbrella organization for societies working in information processing, IFIP's aim is two-fold: to support information processing within its member countries and to encourage technology transfer to developing nations. As its mission statement clearly states,

IFIP's mission is to be the leading, truly international, apolitical organization which encourages and assists in the development, exploitation and application of information technology for the benefit of all people.

IFIP is a non-profitmaking organization, run almost solely by 2500 volunteers. It operates through a number of technical committees, which organize events and publications. IFIP's events range from an international congress to local seminars, but the most important are:

- the IFIP World Computer Congress, held every second year;
- open conferences;
- working conferences.

The flagship event is the IFIP World Computer Congress, at which both invited and contributed papers are presented. Contributed papers are rigorously refereed and the rejection rate is high.

As with the Congress, participation in the open conferences is open to all and papers may be invited or submitted. Again, submitted papers are stringently refereed.

The working conferences are structured differently. They are usually run by a working group and attendance is small and by invitation only. Their purpose is to create an atmosphere conducive to innovation and development. Refereeing is less rigorous and papers are subjected to extensive group discussion.

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Any national society whose primary activity is in information may apply to become a full member of IFIP, although full membership is restricted to one society per country. Full members are entitled to vote at the annual General Assembly. National societies preferring a less committed involvement may apply for associate or corresponding membership. Associate members enjoy the same benefits as full members, but without voting rights. Corresponding members are not represented in IFIP bodies. Affiliated membership is open to non-national societies, and individual and honorary membership schemes are also offered.

# Database Applications Semantics

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Exhibit A

# THE CONTEXT INTERCHANGE NETWORK PROTOTYPE

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## Abstract

In this paper we describe a prototype implementation of the Context Interchange Network (CIN). The CIN is designed to provide for the intelligent integration of contextually (i.e., semantically) heterogeneous data. The system uses explicit context knowledge and a context mediator to automatically detect conflicts and resolve them through context conversion. The network also allows for context explication; making it possible for a receiver of data to understand the meaning of the information represented by the source data. A financial application is used to illustrate the functionality of the prototype.

## Keywords

Context interchange, information integration, knowledge and data modeling, mediation, ontologies, semantic interoperability

## 1 INTRODUCTION

Large organizations need to exchange information among many independently developed systems. In order for this exchange to be useful, the individual systems must agree on the meaning of their exchanged data. That is, the organization must ensure semantic interoperability. In [Goh94] we have described the Context Interchange approach to providing semantic interoperability. In this approach, assumptions underlying the interpretations of data are explicitly represented as data contexts with respect to one or more shared ontologies. Context mediation is used to examine the differences between data contexts and to determine the transformations required to achieve meaningful data exchange. In this paper we describe the Context Interchange Network (CIN), an implementation of the context interchange approach. Simply stated,

CIN provides the following services: (1) access to information in a form most useful to the person or application requesting the information, (2) explanation of the context or meta-data associated with a given piece of data, (3) management of large data networks by supporting scalability and systems evolution.

This paper is organized as follows. In this section we review the basic features of the context interchange approach as applied to a network of heterogeneous sources and receivers. In Section 2, we introduce an example application in the financial domain to clarify the problem we are solving and describe the services that are offered by the CIN. In Section 3, we examine the architecture of the CIN and describe the major components and their functionality. We consider its use in providing semantic interoperability as well as its application to context management. In Section 4, we present details of the CIN implementation focusing on conflict detection and conversion-based query optimization. In Section 5, we present our strategy for introducing this technology into existing applications as a "middleware" service. In Section 6, we examine related research areas and future plans for the implementation.

### 1.1 The Need for Context Interchange

The need for the context interchange network is exemplified by the traditional approach to handling disparate contexts as shown in Figure 1. Numerous sources and receivers may exist on a network but both the stored data and the receivers (e.g., applications) have implicit preconceived assumptions about the meaning of data. Traditionally, conversion routines are introduced either on the source side (e.g., source  $S_1$  provides conversion  $x_{12}$  for information sent to receiver  $R_2$ ) or on the receiver side (e.g., receiver  $R_2$  provides conversion  $x_{12}$  for information from source  $S_1$ ) and in some instances on both sides<sup>1</sup>. Clearly this approach scales poorly since the total number of conversions is proportional to the product of the number of sources and the number of receivers (i.e.,  $n^2$ ). In addition there is no facility to explain differences in the meaning of data from different sources as knowledge about the meaning of data is embedded in the conversion code.

The CIN approach, as depicted in Figure 2, allows for the explicit representation of source and receiver context knowledge. This information along with context mediation services is used to automatically determine the semantic conflicts between sources and receivers and to apply the appropriate conversions. As will be discussed later this approach is scalable and is capable of evolving gracefully even when the meanings of data in underlying systems change over time.

<sup>1</sup>Conversion  $x_{12}$  may have existed but the requirements of  $R_2$  may have changed. Thus, a conversion would be needed on the receiver end to translate the to the new receiver context.

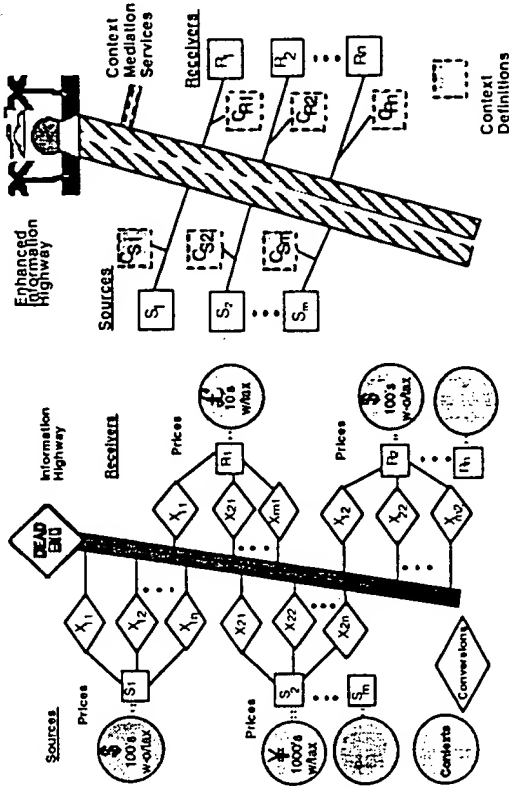


Figure 1: Traditional Approach to Handling Disparate Contexts

## 2 AN EXAMPLE SCENARIO USING THE CONTEXT INTERCHANGE NETWORK

As an example of this approach we describe the following scenario in which an executive of an investment bank is attempting to compile historical information on Daimler-Benz for a meeting of the bank's investment advisory committee.

### 2.1 Traditional Approach

The executive starts up a Data Extraction Software, a Powerbuilder application with access to several relational databases, and proceeds to enter DAIMLER-BENZ AG as the company name. She needs to compile historical data for the past fiscal year, thus she enters 12/31/93 as the Fiscal Year End date and selects the Worldscope financial data service since she is most familiar with it. She assigns the COMPANY-NAME and the LATEST-ANNUAL-FINANCIAL-DATA fields to the first two line entries in the application screen and proceeds to select the NET-INCOME, SALES, and CURRENT-OUTSTANDING-SHARES data fields<sup>2</sup>. She then clicks the Query button to extract the necessary information (Figure 3). She makes a note of the extracted data as exported in the lower half of the Data Extraction Software window.

<sup>2</sup>Note that the typeface convention that we will use in this paper is that attribute names will be in all UPPER-CASE, concepts will be represented in SMALL-CAPS, COURTESY, meta-attributes will be in plain courier, values of meta-attributes will be in [bracketed].

She then changes the data source to Disclosure. She immediately notices that though she has selected Disclosure as the data source, the application accepts the Worldscope naming convention DAIMLER-BENZ AG as the company name, and that it reports the data fields names in Worldscope context. She selects the NET-INCOME, SALES, and CURRENT-OUTSTANDING-SHARES fields, and proceeds to extract the data (Figure 6).

She notices that the data now reported by Disclosure (Figure 6) is very different from that reported directly by Disclosure earlier (Figure 4). She also notices that the data now reported by Disclosure (Figure 6) relates closely to the data extracted from the Worldscope data service (Figures 3 and 5).

The use of the CIN allowed the analyst to examine information in a common, familiar context (i.e., Worldscope) and to meaningfully compare information from other contexts (i.e., Disclosure). This was all possible without changing the existing application (i.e., Data Extraction Software). In the remainder of this paper, we describe how the CIN makes this possible.

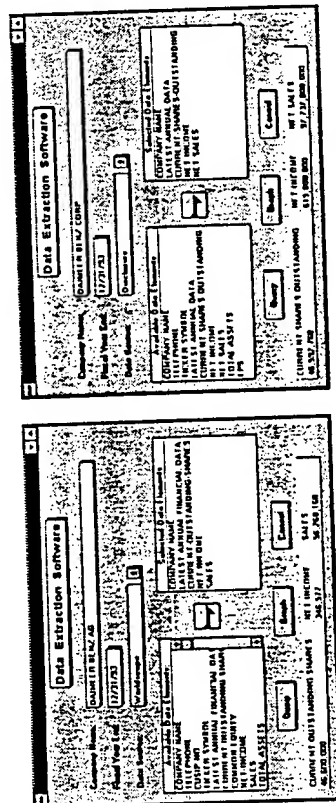


Figure 4: Data Extraction Software - Disclosure

Figure 3: Data Extraction Software - Worldscope

To verify the correctness of the data, she repeats the process to extract the same data elements from the Disclosure financial data service. The Data Extraction Software application reports that Disclosure does not recognize DAIMLER-BENZ AG as a valid company name. She spends a few minutes trying various combinations of the company name before finding the right combination - DAIMLER BENZ CORP. She also spends some time determining what field names in Disclosure to assign to the Company Name and Fiscal Year End lines in the application. She notices that the many of the available field names are different from those supplied by the Worldscope. She selects the NET-INCOME, NET-SALES, and CURRENT-SHARES-OUTSTANDING data fields and proceeds to extract the necessary information (Figure 4). She again makes a note of the extracted data as reported in the lower half of the Data Extraction Software window.

Upon extracting the data, she immediately notices a large difference in the income and sales data from the Worldscope and Disclosure data service. She is unsure of the cause for this difference - the discrepancy could be due to differences in reporting units, currencies, or other contextual differences between Worldscope and Disclosure data. She tries to call the Customer Service for the two data services but finds them closed for the weekend.

## 2.2 Context Interchange Network Approach

Being unsure of the validity of the extracted data, she decides to use the Context Interchange Network (CIN) to resolve the context problems that she has encountered. After she starts up the CIN and identifies herself, indicating that her context corresponds to the Worldscope data context, she proceeds to open the same Data Extraction Software application from within the CIN.

To verify the functionality of the Context Interchange Network, she repeats the exercise in extracting the data from the Worldscope data service for the fiscal year ending 12/31/93. She notices that the data reported by Worldscope through CIN (Figure 5) is identical to that reported directly by the Worldscope data service earlier (Figure 3).

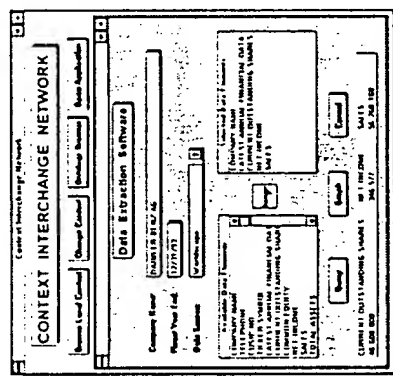


Figure 5: Context Interchange Network -- Worldscope Data

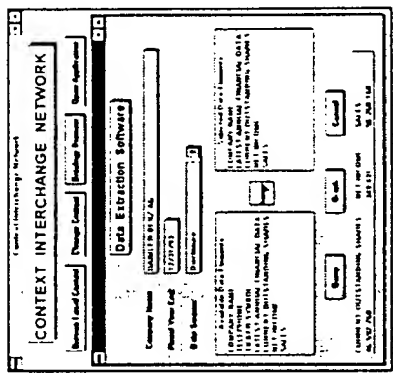


Figure 6: Context Interchange Network -- Disclosure Data

database, captures the data returned, and finally converts the data into the receiver context.

### 3.2 Context Management

The Context Management Application allows the user to interact with the various source and receiver context definitions. The context manager provides the following services to the user:

- 1) Retrieval of the context of a given node (source or receiver).
- 2) Updating of the context information for a pre-existing node.
- 3) Entering the context for a node which is new to the network.
- 4) Comparing contexts for two different nodes to produce a list of potential conflicts.
- 5) Comparing individual attributes from the same or different nodes to produce a list of potential conflicts.
- 6) Browsing of the shared ontology to learn more about the domain (e.g., financial) and potential sources of useful information.
- 7) Specifying conversion functions.

As will become clear, several of the above services rely on the same underlying mechanism used by the context mediator in providing semantic interoperability. In particular, the comparison of contexts for identifying potential conflicts is exactly what is done as soon as a receiver chooses a particular data source. In order to determine which conflicts actually occur it is necessary to examine the query used. In the next section we will describe in detail how we implement many of the high level components shown in Figure 7.

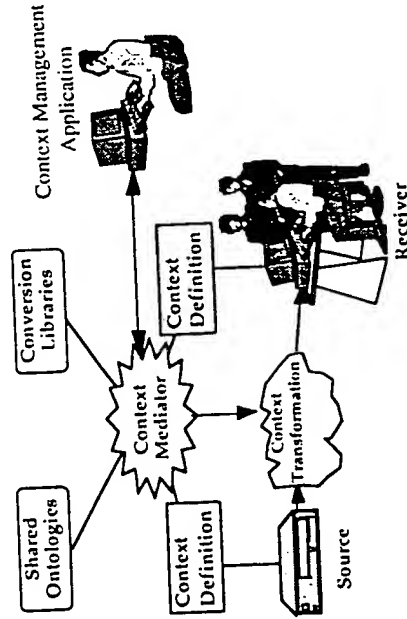


Figure 7: Context Interchange Network Architecture

## 3 THE CONTEXT INTERCHANGE NETWORK ARCHITECTURE

In this section we present a high level view of the architecture of the current implementation as shown in Figure 7, by examining the components and functionality of the system for a single source and single receiver. It is important to note that there are two major uses of this network. First is to guarantee semantic interoperability for new or existing receiver applications as shown by the example in Section 2. Second is for the management of contexts, as described below. For simplicity, we refer to any source (e.g., database, data feed, application program output) or receiver (e.g., application, consolidated database) as a *node* in the CIN.

### 3.1 Context Mediation

In the Context Interchange Network every data source must specify a context definition which describes the kinds of data that it can supply (e.g., COMPANY-NAME, SALES, NET-PROFIT) and all associated context information (e.g., currency, scale-factor, date-conventions). Receivers must specify a similar context definition which will contain a list of the kinds of data that the receiver would be interested in seeing and the associated context information. Typically it is expected that a given receiver's context definition will be similar, if not identical, to the context definition of their favorite data source (usually their local data services). In the example shown in Section 2, the receiver's context was chosen to be identical to the *Worldscope* database.

Integral to the context definitions is what we call *shared ontologies*. Shared ontologies essentially provide a common vocabulary for expressing context definitions. In Section 4 we will describe in more detail how this is implemented.

The *context mediator* intercepts all requests for data made by the receiver, translates the query from the receiver to the source context, poses the query to the source





used to transform context differences. The specific shared ontology constructed for this implementation is a financial reporting ontology and was developed based on the examination of more than eight financial data sources but with particular emphasis on the information represented in Disclosure, Worldscope and Compustat. It is important to note that the CIN is in no way limited to the financial domain. It may be used in any domain where there is sufficient context knowledge to provide a shared ontology and local context definitions.

Because of the large number of concepts that might be associated with a given domain, the shared ontology is defined as a taxonomy of concepts. In addition, because the shared ontology is designed for use in context interchange it is very useful to make the distinction between Data Objects and Real World Concepts and Objects. The ovals on the left side of the tree (as shown in Figure 9) represent classes of data objects (e.g., SALES, COMPANY-NAME, or NAME-OF-COUNTRY) and the rectangles on the right side of the tree represent classes of mostly abstract entities (e.g., MODIFIERS, ORGANIZATIONS, RELATIONS, SCALE-FACTORS). As shown in Figure 9 and described later, the left hand side provides the set of concepts for mapping the attributes defined in the local contexts, while the right-hand-side provides concepts for defining meta-attributes and their values. Links between the data objects and the real world concepts are used to represent meta-attributes and can be read as "NUMBER has a meta-attribute of Scale Factor."

We have found this approach to structuring the shared ontology beneficial in both simplifying its development and using it for context interchange. One persistent and frequently confounding aspect of this dichotomy arises from the question of what information belongs on which side of the taxonomy, the right or the left? Fortunately this is not an either/or decision and the answer can be both, although it will not often be so. An example of a concept that could appear on both sides of the ontology involves the use of currency types. Clearly currencies are an appropriate meta-attribute and thus we need to represent the different currencies as "real world concepts" and thus belonging to the right side of the tree. However, there may also exist a financial database which contains among other things a field dedicated to holding the names of currencies. In order to encode a context definition for this database it would be necessary to assign a concept to this attribute and a perfectly appropriate concept might be CURRENCY-NAME (subclass of NAME). Thus in this example we have nodes on both sides of the taxonomy with "currency" as their key descriptive element. However, it is important to note that these two nodes do not duplicate the same information, the CURRENCY node on the right hand side represents the set of abstract concepts which are the currencies of international trade while the node CURRENCY-NAME on the left hand side represents the set of data objects which are the names of the currencies of international trade. The distinction is subtle but important. A similar example might be that of the concept COMPANY which was the set of companies and COMPANY-NAME which is the set of company names.

This distinction between objects and their representations is defensible and indeed desirable on its own merits. A frequent problem in knowledge representation is the careless mixing of representations with objects. Some data objects such as the number of employees or net profit do not have clearly identifiable objects which they represent and some objects such as companies or people do not easily convert to unambiguous representations. In addition, while company names may have maximum lengths or

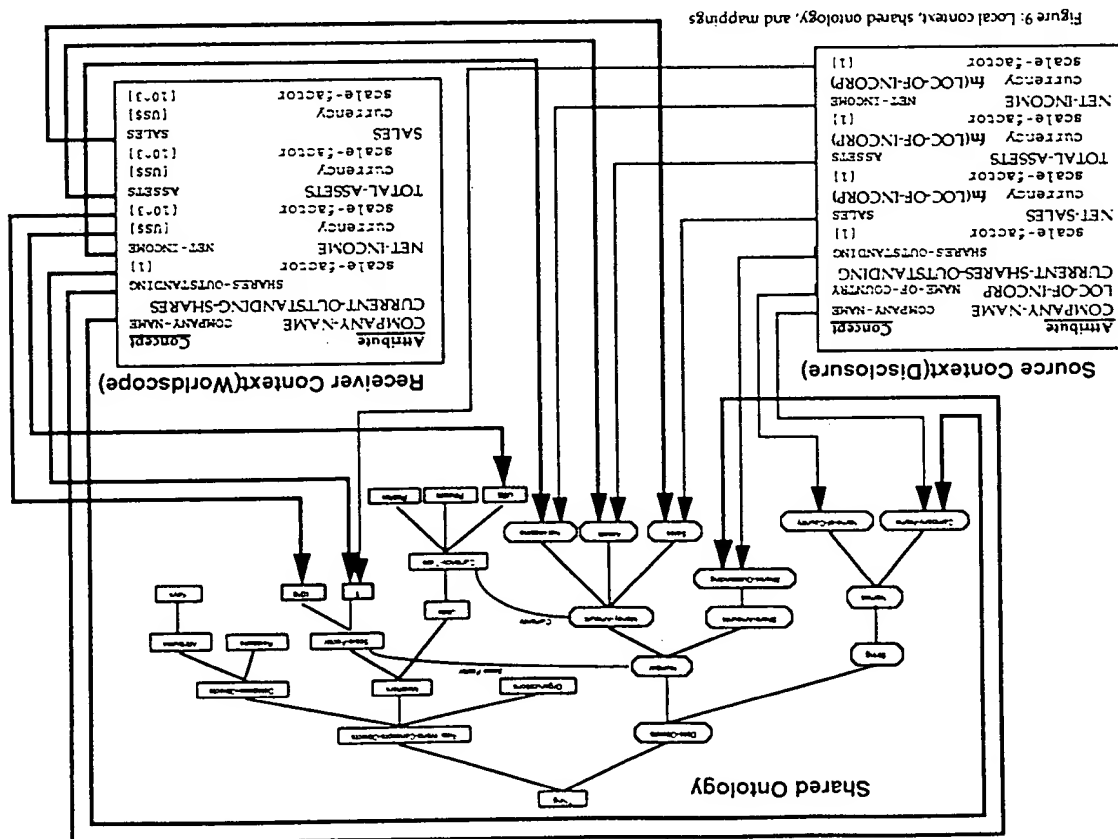


Figure 9: Local context, shared ontology, and mappings

punctuation conventions, companies do not, and while companies may have presidents or net incomes, company names certainly do not. While this distinction may seem clear in theory, in practice in large taxonomies it is easy to get hopelessly confused about what exactly certain named concepts represent [Woods85].

Another major piece of the shared ontology involves the relation of meta-attributes to the concept taxonomy. Meta-attributes are similar to binary predicates and relate two classes. From Figure 9, one can see that the meta-attribute *scale-factor* is defined for the concept *NUMBER* while on *MONEY-AMOUNTS* the meta-attribute *currency* is specified. Values can be specified for meta-attributes attached to a given concept for all the meta-attributes defined on that concept or on any of its ancestor concepts. Thus, as shown in the ontology diagram, the concept *SHARE-AMOUNTS* could specify a value for the meta-attributes *scale-factor* while the concept *NET-INCOME* could specify a value for the meta-attributes *scale-factor* and *currency*. It is important to note that while in theory we could specify a meta-attribute value anywhere from the root concept to the leaf, in our implementation we only allow leaf nodes to be attached to attributes and have specified meta-attribute values.

#### 4.1.3 Mapping Local Context to the Shared Ontology

The local context definition contains attributes and meta-attributes that must be mapped to concepts in the shared ontology. The local context encodes the type of information contained in a given field, which corresponds to concepts in the data object portion of the shared ontology. For example, the attribute called *CURRENT-SHARES-OUTSTANDING* in the source can be paired with the attribute *CURRENT-OUTSTANDING-SHARES* in the receiver because they have been linked to the same concept, *SHARES-OUTSTANDING*.

The addition of a new node into the Context Interchange Network would require that each attribute be paired with a concept in the shared ontology.<sup>4</sup> For each attribute a user would begin at the root node and traverse a path to the appropriate leaf node in the tree. Note that only the leaf nodes are valid concepts to attach to attributes. The principle guiding the design of this network of concepts is that the traversal process should be user friendly. This requires that at each level have a reasonably small number of branches (i.e., less than five) and that the choices are sufficiently distinct to insure that there is a small probability of going down the "wrong" path for more than a couple of levels. At any time, a user may consult the associated Real World Concepts to help clarify the meaning of a data object.

The meta-attributes in the local context are defined by the links to the real world objects. These links may be applied anywhere in the taxonomy and thus the meta-attributes for a concept are the collection of links for it and its ancestor concepts.

<sup>4</sup> In the current implementation we do not allow new concepts or links to be introduced to the shared ontology by a node. Later implementations will consider how to make the ontology more extensible for new concepts and meta-attributes.

#### 4.1.4 Assignment of Meta-Attribute Values

In this section we examine the three categories of meta-attribute value assignments and present those that are supported in the current implementation. The three categories are:

**Independent:** The value of such a meta-attribute is a member of some class of objects, and is known at the time the context is entered. For example, all the *SALES* figures for the receiver shown in Figure 9 are represented in thousands of US dollars.

**Closed Data Dependency:** In this case the value of a meta-attribute attached to a given attribute is dependent on the value of data in another attribute(s) in the same record. For instance, the currency value for *NET-SALES*, *TOTAL-ASSETS*, and *NET-INCOME* for the source in Figure 9 is determined by the location of the incorporation of the company (e.g., Daimler Benz of Germany has net sales in German marks, Sony of Japan has net sales in Japanese Yen).

**Open Data Dependency:** Same as immediately above except that the value of the meta-attribute might be dependent on the value of data associated with an attribute(s) which may be in another record or set of records (e.g., different relations in the same or other sources). As an example, consider the case above except that the country of the corporate headquarters is not included as a field in the same record with net sales but instead is located in some other source<sup>5</sup>.

The extent to which we support these three mechanisms in this implementation is as follows:

**Independent:** Fully supported.

**Closed Data Dependency:** Partially supported. Although we support this form of meta-attribute, we currently limit the nature of the relationship between the meta-attribute and the data which it is dependent upon. The user is allowed to state rules of the form: if *ATTRIBUTE* relation [constant] then set meta-attribute equal to constant. The relation can be any of the more common binary predicates: equal, not equal, greater than, less than, etc. Thus for example a valid rule would be, if the field *COUNTRY*<sup>6</sup> is equal to "Germany" then the currency meta-attribute associated with *NET-PROFIT* would be set to German-marks. In the future we intend to loosen this constraint on expressiveness.

<sup>5</sup> Note that we do not need to include the case of a meta-attribute dependent on the value of another meta-attribute since either the original meta-attribute is a constant or is dependent on some attribute. Thus the value of the second meta-attribute is either a function of a constant and thus a constant or the composition of two functions applied to a piece of data and thus constituting some form of data dependency. In this analysis we ignore the possibility of a cyclic dependency of meta-attributes.

<sup>6</sup> This would mean country of location of the headquarters of the company.

Open Data Dependency: Not currently supported. Given the notion of linking one piece of data to another, it is not difficult conceptually to expand that to linkages outside the current record. However, from a pragmatic point of view once one allows external linkages the number of different kinds of links grows from a handful to being almost unbounded. Potentially one can conceive of a number of external linkages that could be determined automatically although it is not immediately apparent how comprehensive or useful this list would be. It is clear, however, that in many cases it would be incumbent upon the user to identify and define which linkages they were interested in using, and while this is certainly not intractable it is highly ambitious.

As an example of a closed data dependency we direct the reader again back to Figure 9. All the currencies in the *Disclosures* database are in the base currency of the company, thus all financial figures for French companies are in Francs, for Germany companies they are in Marks, etc. The way this is encoded is by attaching a number of meta-attribute settings to each attribute having a closed data dependency. The NET-SALES attribute, for example, would have the following rules:

```
currency=[US$] if LOC-OF-INCORP="USA"
currency=[Marks] if LOC-OF-INCORP="Germany"
currency=[Francs] if LOC-OF-INCORP="France"
currency=[Pounds] if LOC-OF-INCORP="UK"
```

The taxonomic representation allows for the user to view and make assignments for related families of concepts. Thus if the user knows that in a given database all of the money amount figures are in US dollars or that all dates are in European format then it will be possible to state this fact about the high level concept and it will be inherited by all its descendant attributes. Similarly when viewing the context for a data source or data receiver the system will report meta-attribute assignments at the highest level possible. Hence, it may be that when entering the context of a given data source the user will individually assert that all the financial attributes are in US dollars because she does not see the pattern. However, when the context is displayed it will show that all MONEY-AMOUNTS have the meta-attribute currency set to [US\$].

#### 4.1.5 Underlying Representation System: LOOM

The system that we use for implementing the above taxonomy is a general purpose taxonomic knowledge representation system called LOOM [MacGregor, 1991]. LOOM is designed to allow for the representation of a great variety of concepts, entities, and relationships between them. However, we use only a small fraction of the power that LOOM provides in our current implementation. Our reason for choosing such a vast system is to have the maximal expressive capabilities at our disposal and then to later redesign the system for efficiency by removing all the features that were not important or that we did not use.

In LOOM and the description logic view of things, the world consists of a set of entities which can be either abstract or concrete and consists of all the things that the

user is interested in reasoning about. These entities are then broken up into various subsets which are called concepts. Thus in knowledge representation systems it is crucial when reasoning about concepts to also be aware of what exactly is the set of entities that the concept denotes. The last piece of the LOOM view of the world is what are called *roles*. Roles are two place predicates and thus are true for some set of ordered pairs of entities and false for all other pairs. In our implementation meta-attributes are implemented in LOOM as roles.

The following is a sample of LOOM code that is used to represent the local context for the receiver in Figure 9 (i.e., the *Worldscope* context):

```
(defconcept WldScp-Annual-Fin-Attributes :is-primitive Db-Attribute)
(tellm (:about WldScpAP Worldscope-Relation
  (:filled-by has-attribute
    'WldScpAP-CompanyName
    'WldScpAP-LatestAnnualDate
    'WldScpAP-CurrentOutstandingShares
    'WldScpAP-NetIncome
    'WldScpAP-Sales
    'WldScpAP-TotalAssets)))
(defconcept WldScpAP-CompanyName :is-primitive Company-Name)
(defconcept WldScpAP-LatestAnnualDate :is-primitive Latest-Annual-Date)
(defconcept WldScpAP-CurrentOutstandingShares :is-primitive
  Shares-Outstanding)
(defconcept WldScpAP-NetIncome :is-primitive
  (:and Net-Income
    (:filled-by scale-factor times-1000)))
(defconcept WldScpAP-Sales :is-primitive
  (:and Sales
    (:filled-by scale-factor times-1000)))
```

It is important to note that some of the local context is inherited from parent concepts. For example, `currency = [US$]` is inherited for *Worldscope* money amounts (e.g., *SALES*).

#### 4.2 Conflict Detection

Although LOOM provides a great many services to the user, unfortunately conflict detection between differing context definitions is not among them, therefore we have built a LISP program that interacts with LOOM to perform conflict detection and produce the attribute map and the conflict table as shown in Figure 8 and described in this section.

### 4.2.1 Attribute Maps

The attribute map is essentially a table that pairs attributes from one node with attributes from another node. For the example scenario in Section 2 the attribute map would be as follows:

Worldscope	Disclosure
NET-INCOME	NET-INCOME
SALES	NET-SALES
CURRENT-OUTSTANDING-SHARES	CURRENT-SHARES-OUTSTANDING

The manner in which this table is generated is fairly simple. After the application has indicated which receiver attributes are of interest, the conflict detector goes through each receiver attribute. It looks at the concept that is associated with each attribute and determines if there exists an attribute in the source context definition that is also associated with that concept. If such an attribute exists then the attributes match and if not then there is no attribute that corresponds to the receiver attribute.

### 4.2.2 Conflict Tables

The process of conflict table generation is more complex than for the attribute map. The conflict table consists of several entries, the attribute name (in the source context) on which the conflict may appear, the name of the meta-attribute on which the context definitions differ, the source value of the meta-attribute, the receiver value of the meta-attribute, the name of a function that could convert the data appropriately, and a predicate which determines if a particular piece of data has a conflict. Referring back to the example from Section 2 and Figure 9 the conflict detector generates the following excerpt from the conflict table:

Attribute	Meta-Attr	Src	Rcv	Conv-fn	Predicate
NET-INCOME: currency	[Marks]	[US\$]	[US\$]	currency-cvt	LOC-OF-INCORP="Germany"
NET-INCOME: currency	[Pounds]	[US\$]	[US\$]	currency-cvt	LOC-OF-INCORP="England"
NET-INCOME: currency	[Francs]	[US\$]	[US\$]	currency-cvt	LOC-OF-INCORP="France"
NET-INCOME: scale	10^3	1	1	scale-cvt	true
SALES	scale	10^3	1	scale-cvt	true

Note that there would be many more entries for other different currencies. However they have been omitted to provide a reasonable size example. In other words the table above states that for the attribute NET-INCOME the currency used is dependent on another field in the same record, LOC-OF-INCORP. The last line in the table simply states that the scale factor on the SALES and NET-INCOME attribute is 10^3 in the source database and only 1 for the receiver and that those scale factor settings are not dependent on anything else and thus the predicate is always true. For the NET-INCOME requested on Daimler-Benz of Germany, the first and fourth lines of the table are used.

The generation of this table, in principle, is reasonably simple. For any two attributes which have been paired in an attribute map the system examines the concept in the taxonomy to which the attributes have been linked and compares the source and receiver meta-attribute settings. If the settings disagree and the settings of the values are "independent" as discussed in Section 4.1.4 then we place a single entry in the table (similar to the last line in the table above). If the setting of the meta-attribute value uses a closed data dependency then the condition is placed in the predicate line.

### 4.3 Context-Based Query Processing

In this section we describe how a query from the receiver is resolved in the source's context. The components of this process are shown in the bottom half of Figure 8 beginning with the Query Processing Controller.

#### 4.3.1 Query Processing Controller (QPC)

This module controls all other components of the query processing engine as well as provides an interface to external data sources and receivers. The controller maintains the state of execution of a query. This state includes node names, passwords, and execution states. It also retrieves essential information from the conflict detector regarding conflicts between nodes in the form of a conflict table and an attribute map.

#### 4.3.2 Query Optimization

The optimizer is a Selinger-style [Sel79] query optimizer (implemented in C++ with tools from [OEC93]) that generates an optimal query execution plan given an SQL statement, a conflict table and an attribute map. Queries that are directed through the QPC are decomposed into the primitive operators (e.g. selection filters, joins, projections). Furthermore, conversion operators are generated for each conflict in the conflict table that relates to the active query. The context-based query optimizer determines the location of selections and joins (i.e. conventional query optimization), and incorporates conversion filters into the query plan (i.e. conversion-based optimization). Each operator has two distinct sets of properties: physical and logical. Physical properties include the cost of the operator and the applicable algorithms to implement the operators. Logical properties describe the logical effect of the operator on a data set.

Conversion operators are inserted into the plan to assure logical consistency (e.g., join attributes must be in the same context, selection constants and attributes must have the same context and output data must be in the receiver context). Hence, if a conflict exists on the attribute SALES then no operator can be applied on SALES without a conversion of SALES data. The identity of conversion functions is provided in the conflict table. Also identified is the existence of an inverse conversion function. A conversion function ( $F_H$ ) (i.e., the source-to-receiver conversion function) has an inverse ( $F_H^{-1}$ ) if the inverse function ( $F_H^{-1}$ ) can be used to transform a predicate in the receiver's query into the context expected by the source (i.e., receiver-to-source conversion). The

presence of inverse conversions will be shown to be very important in the optimization process.

The optimal execution plan is generated by exhausting all possible combinations of operator nodes in the plan. All plans that are not logically consistent with the original query are pruned. Appropriate physical algorithms are attempted for each operator of the plan and the resulting costs are calculated. The optimal plan is selected from the possible plans on a cost minimizing basis.

The optimizer is implemented in C++ and is extensible to handle additional operators and changes to cost functions. Each node in the optimizer can have multiple methods associated with it as well as separate costs based on those methods.

An illustrative example, based on the scenario described in Section 2, of query optimization is described below. The user requests current shares outstanding, sales and net income information for the German company Daimler-Benz AG from the Disclosure database generating the following SQL statement:

```
Select COMPANY-NAME, CURRENT-SHARES-OUTSTANDING, SALES,
NET-INCOME From Disclosure
Where COMPANY-NAME="DAIMLER-BENZ AG" And DATE=12/31/93
```

Both the NET-INCOME and SALES attributes are represented in German Marks in the Disclosure database and they also have a scale factor of 1000. The data receiver prefers her sales and net income figures to be in US Dollars with a scale factor of 1. Furthermore, the receiver and source differ on the naming convention used for company names (i.e. receiver: "DAIMLER-BENZ AG", source: "DAIMLER BENZ CORP").

Figure 10 shows two of the query trees generated by the optimizer. The trees are non-dependent sequential trees with data flowing from the bottom (i.e. data at the source) to the top (i.e. output to the receiver). Figure 10(a) depicts a suboptimal execution plan for the query described above. The Relation node signifies the relation Disclosure on disk. The File Scan node retrieves relevant attributes from Disclosure. The relevant attributes include: all attributes present in the output list, all attributes in the predicate of the SQL statement (e.g., DATE) as well as any attributes required for a conversion function (e.g., LOC-OF-INCORP to determine the currency). The tree then incorporates three Convert nodes, for the attributes COMPANY-NAME, NET-INCOME and SALES, that ensure that output to the receiver has been converted to her context. The Select node is an operator that filters out the records for the company Daimler-Benz and for the 1993 fiscal year. The Output node is the final node in the query tree and signifies the presentation of the results of the query to the user. Hence, the tree in Figure 10(a) describes the process of reading all data from the Disclosure relation, converting all the data and then filtering out those data of interest to the receiver.

Figure 10(b) shows an optimal plan. At the bottom of the tree is a Relation node indicating the Disclosure relation as in Figure 10(a). However, the Select node precedes the File Scan node in this query tree and contains an inverse conversion function applied to the value of the COMPANY-NAME attribute (i.e., converting to the Disclosure context). The selection filter can now be applied as the data is being scanned by the File Scan operation at minimal extra cost (as compared to a cost proportional to

the size of the relation). The COMPANY-NAME must be converted from the source context to the receiver context before output to the receiver. The query tree in Figure 10(b) clearly has lower cost than the tree in Figure 10(a) because the number of records on which conversions are performed is significantly reduced by placing the Select node before the conversions.

More complex queries are handled in a similar manner. Joins between two sources necessitate transformations to the context of either source or another common context before join attributes can be compared. All three techniques are attempted and the most efficient is chosen based on the size of the two source relations and the attributes required in the query output.

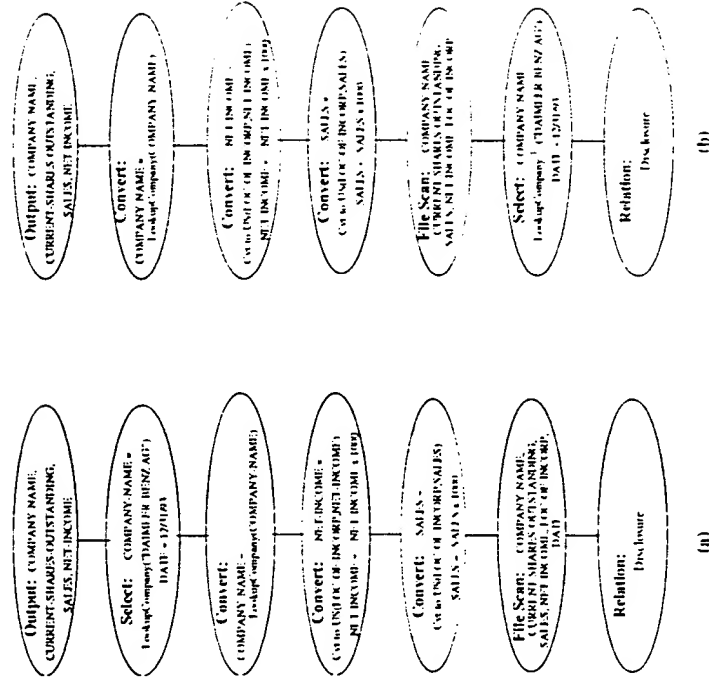


Figure 10: Possible Execution Plans (a) sub-optimal, (b) optimal

### 4.3.3 Data Retrieval and Conversion

The execution plan representation in the optimizer is generic and does not correspond to a specific query language. In the data retrieval stage, the plan generated by the optimizer is transferred into SQL. Operator nodes below a Convert operator are transformed into an SQL subquery, and results are stored in temporary tables (see

Figure 11). Conversion routines are applied to the temporary tables and subsequent queries are performed on the temporary tables. The final Root Query returns data to the receiver.

The context mediator supports three forms of conversion functions. These functions include: mathematical functions implemented in C++, lookup functions implemented as receiver.

Figure 11 shows the SQL execution plan generated from the query trees in Figure 10. Data flows from the bottom (the data source) to the top (data receiver) in the tree shown in Figure 11. The bottom node in Figure 11 is an SQL query to be sent to the Disclosure database, the results of which are stored in temporary storage, TempL, under the control of the query processing controller. Note that the query has been modified by the conversion of the constant "DAIMLER-BENZ AG" to "DAIMLER BENZ CORP" through the use of the inverse conversion function *LookupCompany*<sup>1()</sup>. The conversions on COMPANY-NAME, SALES and NET-INCOME<sup>2</sup> are performed on data in TempL. Finally, after all conflicts have been resolved an SQL query is applied to TempL to retrieve the attributes requested by the user.

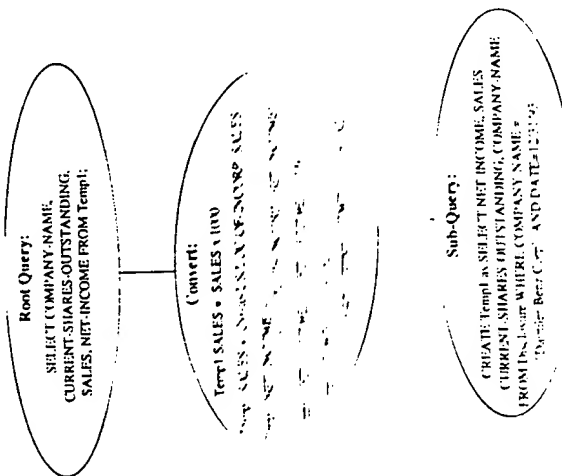


Figure 11: Plan for optimal execution of Figure 10(b).

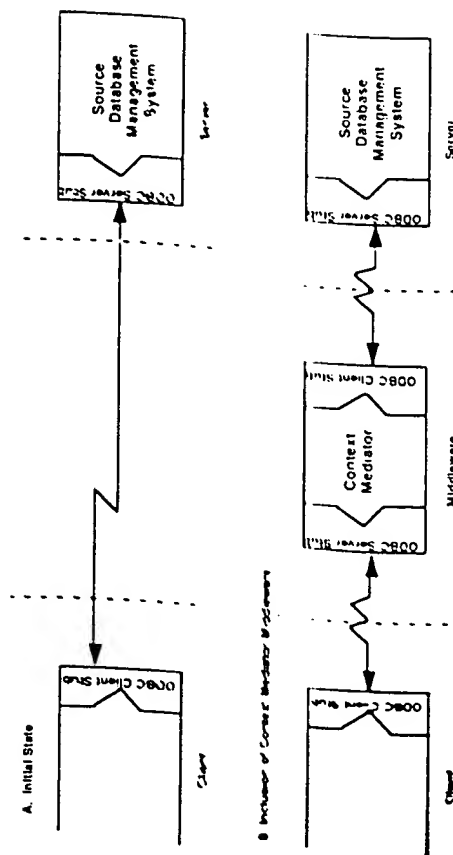
<sup>7</sup>Note that conversion of the scale factor in SALES and NET-INCOME could have been performed by adding the function to the target list of the subquery (i.e. CREATE Temp1 as SELECT NET-INCOME/1000, SALES\*1000 ...). However, our current implementation does not take advantage of this feature in SQL...

## 5 MIDDLEWARE

The essential functionality of the context mediator is to detect context difference between source and receiver, transform queries accordingly, and apply all necessary conversions to the output.

Most applications, previously implemented and currently being implemented, did not have provisions for context mediation. An example of such an application is shown in Figure 12. This corresponds to the Data Extraction Application described in Section 2 with the Client Receiver Applications being implemented using Powerbuilder and the Source Database Management System being two Oracle servers, one holding the Worldscope database and the other holding the Disclosure database.

One of our goals is to be able to incorporate context mediator capabilities into such a situation in a non-intrusive way, that is, without requiring any change to the existing applications or the servers. Besides the obvious benefits of such an approach, that is eliminating the labor effort of converting existing software, it is often a practical necessity because either the receiver environment or source environment (sometimes both) may be outside the receiver's control (i.e., controlled by other organizations or unrelated parts of your own organization). Thus, changes many not be allowed.



**Figure 12: Context mediator middleware.**

### 5.1 Three-Tier Middleware Structure

to provide distributed data access and to ensure compatibility with existing applications and storage systems we have elected to use a three-tiered middleware approach for the design of the context interchange network. (see Figure 12B). The three-tiered approach also allows a single context mediator to be simultaneously connected to multiple sources and receivers. The first tier is the client which may be any

ODBC compliant application (Access, Excel, Custom applications). The context mediator, the second tier or middleware, performs conflict detection, query optimization and query execution. The third and final tier is the source database management system which must also be accessible through an ODBC driver. Connections between the multiple tiers are performed via the OEC ([OEC93]) RPC (remote procedure call) tools.

The context mediator has been implemented in C++ and Loom. The Loom portion handles the context repository and conflict detection mechanisms for the context mediator. The C++ portion includes the query parser, the conversion based optimizer and a query execution unit.

### 5.2 Open Database Connectivity (ODBC)

The context mediator engine is intended to provide seamless context conversion between applications and databases. Hence, the mediator uses the ODBC/API (Open Database Connectivity/Application Programming Interface) [Micro94] which is an accepted industry standard. The ODBC/API includes a large amount of function specifications that fall under three main categories: (a) Connection Setup, (b) Query Submission and (c) Data Retrieval. Receiver context is determined during connection setup and is a function of the client application and the user. The query submission stage is essentially unaltered from any other application, however, internally, queries are redirected to the context mediator rather than the source specified by the user. Finally data returned in the retrieval stage will have been modified to comply with the receiver's context.

### 5.3 Legacy and other non-ODBC Sources

In reality, a tremendous amount of current data is in non-ODBC sources, often referred to as "legacy systems". These are non-ODBC for several possible reasons: (1) they pre-date modern relational database technology (e.g., IBM IMS) and/or are based on some proprietary technology, (2) they are not designed to allow for direct database query access, either due to oversight, different goals, or as a form of protection, and only allow access through an interactive user interface (e.g., many online services), or (3) they have chosen to support another standard API other than ODBC. Often several of these reasons apply simultaneously.

To deal with these situations, we have used various commercial tools [OEC93] to develop ODB-adaptor middleware. These are sometimes referred to as "wrappers" or "screen scrapers", we will use the term "connectivity middleware." Referring to Figure 12b, there is an additional layer of middleware between the context mediator and the source. The connectivity middleware presents an ODBC interface to the context mediator but presents a specialized interface to the source, as exemplified below.

The *Worldscope* data used in the example of Section 2 is actually available in several forms. We have used two forms: (1) a CD-ROM of quarterly updated data which was loaded into an Oracle relational database and (2) continually updated data is available as an on-line service which can only be accessed through an ASCII text menu selection interface (e.g., you are asked, "Please enter company name", a name such as "Daimler-

Benz" is entered, and then a fixed format text report is displayed such as "NET INCOME,346,577,SALES56,268,168" etc.)

The *Worldscope* connectivity middleware that we have constructed allows us to use either source in exactly the same manner, as ODBC sources, although there are differences in speed, cost, and timeliness of the data.

### 5.4 Future needs of the Information SuperHighway

The topic of the "Information SuperHighway", or its current form as the Internet, has received considerable attention in government, business, academic, and media circles. Although a major point of interest has focused on the rapidly increasing number of users, sometimes estimated as 20 million and growing, an even more important issue is the millions of information resources that will be accessible.

Today, when people talk about "surfing the 'net", they are usually referring to use of the World Wide Web (WWW) through some user friendly interface, such as Mosaic or Netscape. This type of activity can be effective for casual usage and requires significant human intervention for navigation (i.e., locating the appropriate sources) and interpretation (i.e., reading and understanding the information found)

On the other hand, let us consider the opportunity and challenges posed by exploiting these global information resources in an integrated manner. Let us assume that information from the various stock exchanges (possibly with a delayed transmission for regulatory purposes) and weather services around the world are accessible. (Note: They can be adapted for use by techniques described in Section 5.3 without requiring any change to the source.) You might want to know the current value of your international investments, which might require access to multiple exchanges both in the USA (e.g., NYSE, NASDAQ, etc.) and overseas (London, Tokyo, etc.) You might want to know where are the best ski conditions at resorts around the world. To manually access and interpret the numerous information sources relevant to these questions would rapidly become impractical. Furthermore, it is highly unlikely that all these sources would have the same context given their autonomous and geographically dispersed nature.

The three-tier middleware approach provides the opportunity to introduce context mediation services into such an environment in an incremental, evolutionary, and non-intrusive (or minimally intrusive) manner. Such services will be crucial to the effective, efficient, and correct use of information resources made available through the Information Super highway.

## 6 CONCLUSIONS

In this paper we have described an implementation of a Context Interchange Network to support semantic interoperability among heterogeneous sources and receivers. The CIN utilizes a declarative approach to context knowledge (i.e., rather than embedded in code, manuals, or the minds of users). It supports automatic detection of semantic conflicts and where possible the translation of the conflicts to provide the receiver with meaningful information (i.e., data in the receiver context). The CIN also supports the exploitation of data context, allowing for intelligent information browsing.



The development of this prototype has provided considerable insight into important research areas. First, there is a tremendous requirement for design methodologies and knowledge acquisition tools for the development and maintenance of shared ontologies and local context definitions. Our current ontology was developed to support the integration of eight financial data sources and as such was developed, for the most part, in a bottom-up approach. Data objects were constructed to allow for mapping of the three databases currently used in the implementation. Real world concepts were added to support meta-attributes. Some additional concepts were added to support understanding of data structures and further explication. This proved to be a very time consuming process without an apparent optimal strategy. Current efforts are being spent on developing a user interface to support defining, browsing, and editing the local context knowledge, the shared ontology and mappings between the local context definitions and the shared ontology.

Second, the implementation needs to be extended to support more complex context knowledge and conflict reconciliation. The examples in the paper oversimplify the current capabilities but at the same time we are studying the need for the ability to better represent both derived (e.g., earnings-per-share) and combined (e.g., address, date) data and to reconcile differences between these types. Part of this process includes current efforts in developing a common theory for context definition, ontologies and databases.

Thirdly, the current query optimizer works mostly on compile-time conflict knowledge. As shown in [Siegel91], many of the context conflicts can only be determined at run-time, some of the capabilities to do run-time context checking have been incorporated but further analysis of the optimization process is needed to fully support this capability.

Finally, we are developing tools and methodologies to support system evolution and scalability (e.g., the use of multiple shared ontologies). These approaches will have significant impact on the ability for current and future Information Super Highways to deliver meaningful information exchange among multitudes of disparate sources and receivers.

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## 8 BIOGRAPHY

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Michael Siegel is a Principal Research Scientist at the MIT Sloan School of Management. He is currently the Associate Director for both the International Financial Services Research Center (IFSRC) and the Productivity from Information Technology (PROFIT) project. His research interests include heterogeneous database systems, managing data semantics, query optimization, intelligent database systems, learning in database systems, integration sciences and the use of information technology in financial risk management and global financial systems. He has taught courses in Management Information Technology and Computer Science and has been active in the development of state-of-the-art information systems. His research has appeared in numerous conference and journal publications.

## Questions & answers

Question [Ling Liu]:

Do different data repositories have their own context definitions?

Answer [Michael Siegel]:

Yes, but we add context hierarchies to avoid having each site specify context that might be shared. For example, all databases in Germany might state prices in marks. That would be a nice fact to specify once, and have all sites know.

Question [Ling Liu]:

But does each one use its own language? They need to use the same language.

Answer [Michael Siegel]:

There are shared ontologies, and a shared knowledge representation language namely LOOM.

Question [ ]:

You are assuming that you have some local context?

Answer [Michael Siegel]:

Yes, there needs to be some registration process to specify the context in which a user expects results when using the browser. The easiest way to specify this is to choose the context of your favorite data source.

Comment [Arnon Rosenthal]:

Might I suggest a change in architecture? It would be nice if people didn't have to sign onto CIN, but offer it as a service so no conflict occurs between CIN and the data source interface.

Response [Michael Siegel]:

You can just run CIN in the background as long as no one wants to directly interact with it to browse or define contexts.

Question [Raymond Wong]:

Do you require a 1-to-1 mapping?

Answer [Michael Siegel]:

In the current prototype, yes. But we are working on combining or splitting fields to deal with other cases.

Question [Raymond Wong]:

But how do you deal with ambiguous data? You can't always disambiguate data enough to split it up into distinct pieces.

Answer [Michael Siegel]:

Let's address that off-line.

Question [ ]:

Do you have a notion of a common schema in defining this system?

Answer [Michael Siegel]:

Well, we assume the presence of a shared ontology.

Question [ ]:

What happens when someone wishes to define a new source?

Answer [Michael Siegel]:

The first question to ask is, "Can the source data be mapped to the shared ontology?" If so, what are the meta-attributes? What do clients want to know?

Question []:

Why use meta-attributes? Why not just add attributes to the database to represent meta-attributes such as Currency\_Of\_Location?

Answer [Michael Siegel]:

Meta-attributes show explicitly that a relationship exists between two things, such as Location and Currency\_Of\_Location. Whereas if you merely add an attribute "Currency" to the table containing attribute "Location", it is not known for certain that the value in "Currency" describes the currency of the location in "Location".

## 5

# Extending a Multidatabase Manipulation Language to Resolve Schema and Data Conflicts

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## Abstract

The management of Multidatabase Systems (MDBS) is complicated by possible structural and semantic heterogeneity of the member database systems, and the requirements to preserve their local autonomy. Semantic heterogeneity is concerned with the differences in the meaning and interpretation of similar data objects across the different systems. In loosely coupled database federations, static schema integration may be not feasible and heterogeneity conflicts must be dealt with at the application level. Therefore, a multidatabase access language must be equipped accordingly with special features to resolve structural and semantic discrepancies.

In this paper, a multidatabase manipulation language, motivated by Multidatabase SQL, is proposed as a tool for multidatabase access in the presence of schema and data conflicts. Specific features discussed in this proposal include access to external functions, user-defined partial schema integration by means of class attributes, generalized local and interdatabase joins, and automatic completion of local implicit joins. Together, these features permit resolution of many classes of structural schema conflicts that may exist among the member database systems.

## Keywords

Heterogeneous Multidatabases, Multidatabase Languages, Schema Conflicts Resolution, Schema Integration.

## 1 INTRODUCTION

Over the recent years, the growing interest in Multidatabase Management Systems (MDBMS) and database interoperability motivated a significant amount of research into the issues of database autonomy and schema heterogeneity. DeMichiel (1989), Lim (1993), Ahmed (1991), Krishnamurthy, Litwin and Kent (1991).

As Hembligner and McLeod (1985) point out, autonomy requirements impose limits on